

3 FAM 2840

SENIOR EXECUTIVE SERVICE RECERTIFICATION PROGRAM

(TL:PER-248; 4-10-95)
(Office of Origin: HR)

3 FAM 2841 GENERAL INFORMATION

3 FAM 2841.1 Authority

(TL:PER-248; 4-10-95)
(State Only)
(Applies to Civil Service Employees Only)

—5 U.S.C. 3393a

—5 CFR 317.504

3 FAM 2841.2 Policy

(TL:PER-248; 4-10-95)
(State Only)
(Applies to Civil Service Employees Only)

To ensure that the performance of career appointees demonstrates the excellence needed to meet the goals of the Senior Executive Service (SES) as set forth in 5 U.S.C. 3131 by:

- (1) Enhancing the overall performance of the SES;
- (2) Setting a standard of excellence for executives; and
- (3) Ensuring that only those executives continuing to perform at the expected level of excellence remain in the SES.

3 FAM 2841.3 Coverage

(TL:PER-248; 4-10-95)

(State Only)

(Applies to Civil Service Employees Only)

- a. Executives who have been continuously employed in the SES for the 156 weeks preceding the end of the recertification period (One or more breaks in SES service totaling six months or less do not interrupt the 156 weeks of continuous employment).
- b. Executives who are on extended assignment or are absent from their positions at the time of recertification (e.g., individuals on Presidential Executive Exchange Program or Inter-governmental Personnel Act assignments, extended sick leave, or leave without pay) as long as they are officially occupying an SES position as of the end of the recertification period and meet the length of service requirements.
- c. Executives who transfer from another agency during the calendar year and who are not covered by a recertification determination in the previous agency.

3 FAM 2841.4 Exclusions

(TL:PER-248; 4-10-95)

(State Only)

(Applies to Civil Service Employees Only)

—See 5 CFR 317.504(b)(2).

3 FAM 2841.5 Training

(TL:PER-248; 4-10-95)

(State Only)

(Applies to Civil Service Employees Only)

- a. Copies of the approved plan, and any subsequent changes, will be provided to all Departmental SES career appointees.
- b. Before the beginning of each recertification determination process, all Performance Review Board (PRB) members and all executive supervisors who supervise career SES appointees will be given training on the objectives and procedures of the recertification process.

3 FAM 2841.6 Reports and Evaluation

(TL:PER-248; 4-10-95)

(State Only)

(Applies to Civil Service Employees Only)

The Department will conduct evaluation and reporting functions in accordance with 5 CFR 317.504(j)(3)-(5).

3 FAM 2841.7 Records

(TL:PER-248; 4-10-95)

(State Only)

(Applies to Civil Service Employees Only)

- a. Documentation generated by the recertification process will be maintained in the executive's Employee Performance Folder (EPF) for a period of five years from the date of the recertification determination.
- b. If an individual is conditionally recertified, documentation for the final recertification determination shall be maintained for five years from the date of the conditional recertification.
- c. EPFs shall be maintained in accordance with provisions in the SES Performance Appraisal Plan. Information contained in the EPF is protected under the provisions of the Privacy Act.

3 FAM 2842 RESPONSIBILITIES

3 FAM 2842.1 The Director General

(TL:PER-248; 4-10-95)

(State Only)

(Applies to Civil Service Employees Only)

- a. The Director General of the Foreign Service and Director of Personnel has been delegated authority to carry out the responsibilities of the Secretary under 5 U.S.C. 3393a.
- b. Consistent with existing practice under which the Director General, with the consent of the Inspector General (IG), makes appointments to SES positions in the Office of the IG, the PRB will submit its recertification recommendations on the IG's senior executives to the Director General

for final decision, rather than to the Inspector General for his/her further recommendation/ decision.

- c. The Director General will make the final determination to recertify, conditionally recertify, or not recertify the executive based on all of the information provided. This decision will be indicated by his/her signature on the DS-1881.

3 FAM 2842.2 The Executive Resources Board (ERB)

(TL:PER-248; 4-10-95)

(State Only)

(Applies to Civil Service Employees Only)

- a. Establishes Performance Review Boards;
- b. Establishes the precepts and procedures for the PRBs;
- c. Reviews and approves performance improvement plans for executives who have been conditionally recertified; and
- d. Assists in monitoring the progress of conditionally recertified executives through the performance improvement plan.

3 FAM 2842.3 The Performance Review Board (PRB)

(TL:PER-248; 4-10-95)

(State Only)

(Applies to Civil Service Employees Only)

- a. Reviews all performance material submitted by both the executive supervisors and the executives being reviewed; and
- b. Makes written recommendations to the Director General whether to recertify, conditionally recertify, or not recertify the executives being reviewed.

3 FAM 2843 OPERATION OF THE RECERTIFICATION SYSTEM

3 FAM 2843.1 Timing of Recertification

(TL:PER-248; 4-10-95)

(State Only)

(Applies to Civil Service Employees Only)

Recertification will take place every third calendar year beginning in 1991, coincident with the end of the annual performance appraisal period.

3 FAM 2843.2 Documenting Recertification

(TL:PER-248; 4-10-95)

(State Only)

(Applies to Civil Service Employees Only)

All recertification recommendations/decisions will be documented on DS-1881.

3 FAM 2843.3 Standards for Recertification

(TL:PER-248; 4-10-95)

(State Only)

(Applies to Civil Service Employees Only)

SES members will be reviewed for recertification in accordance with the standards in 5 CFR 317.504(d).

3 FAM 2843.4 Recommendation by the Executive Supervisor

(TL:PER-248; 4-10-95)

(State Only)

(Applies to Civil Service Employees Only)

- a. The DS-1881 must be signed by the executive supervisor and the executive. A copy must be given to the rated employee.

- b. The recommendation will be based on a review of the elements discussed in 5 CFR 317.504(e)(a) and any other relevant qualitative factors related to the executive's performance, such as:
 - (1) Special projects or programs that were not a part of the performance standards;
 - (2) Details to other agencies or other offices within the Department; and/or
 - (3) Limited Foreign Service assignments or other temporary duty overseas.
- c. Any recommendation to conditionally recertify or non-recertify an executive must be accompanied by a written justification attached to the DS-1881.

3 FAM 2843.5 Recommendation by the Performance Review Board

(TL:PER-248; 4-10-95)

(State Only)

(Applies to Civil Service Employees Only)

- a. After receiving and reviewing the recommendation of the executive supervisor (DS-1881) and any information provided by the executive, the PRB shall submit this information to the Director General along with their own recommendation as to whether the executive should be recertified, conditionally recertified, or not recertified.
- b. If the board proposes to recommend conditional recertification or non-recertification, the executive shall be notified in writing by the Chairman of the PRB and shall have the opportunity to prepare a case and appear before the Board prior to the forwarding of the recommendation to the Director General.

3 FAM 2843.6 Appearance Before the Performance Review Board

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(State Only)

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- a. If the chairman of the PRB notifies an executive that he/she is recommending conditional recertification or non-recertification and the

executive wishes to appear before the Board, the executive must indicate his/her desire to do so within 10 working days of receipt of the written notice. The notification must be in the form of a memorandum addressed to the chairman of the PRB specifically requesting the appearance.

- b. As soon as practical after receiving a written request from an executive who is being recommended for either conditional recertification or non-recertification, the PRB must set a date and time for the appearance. The chairman must then notify the executive in writing of that date and time.

3 FAM 2843.7 Determination by the Director General

(TL:PER-248; 4-10-95)

(State Only)

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The Director General makes the final determination on recertification; however, no final decision may be made on an executive until such time as a final determination on their performance appraisal has been made for the same year. This requirement shall not be applied if it would result in deferral of the final recertification decision beyond the last day of the calendar year in which it is due.

3 FAM 2844 RESULTS OF RECERTIFICATION DECISION

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(State Only)

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The results of all recertification determinations will be in accordance with 5 CFR 317.504(h).

3 FAM 2845 THROUGH 2849 UNASSIGNED